

**U.S. Department of Energy**  
**Washington, D.C.**

**ORDER**

**DRAFT**  
**DOE O 200.Y**

Approved: XX-XX-05

Review: XX-XX-07

Expires: XX-XX-09

**SUBJECT: INFORMATION COLLECTION MANAGEMENT PROGRAM**

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1. **OBJECTIVE.** To set forth Department of Energy (DOE) requirements and responsibilities for implementing the information collection management provisions of the Paperwork Reduction Act (PRA) of 1995 and the Office of Management and Budget's (OMB's) implementing regulation "Controlling Paperwork Burdens on the Public," as contained in Title 5 Code of Federal Regulations, Part 1320.
2. **CANCELLATIONS.** None.
3. **APPLICABILITY.**
  - a. **DOE Elements.** Except for the exclusions in paragraph 3b, this Order applies to all DOE elements. (See Attachment 1 for a complete list of DOE elements.) This Order automatically applies to DOE elements created after it is issued.

The National Nuclear Security Administration (NNSA) Administrator will assure that all NNSA employees comply with their respective responsibilities under this Order.
  - b. **DOE Contractors.** This Order does not apply to contractors.
  - c. **Exclusions.** None.
4. **REQUIREMENTS.** The PRA of 1995 requires each Federal agency to seek and obtain approval from OMB before undertaking a collection of information directed to 10 or more persons (including operations of Government-owned, contractor-operated facilities). Under the PRA, OMB approval for each information collection instrument can last a maximum of 3 years. The following requirements must be met by each Departmental element to ensure implementation of an information collection program that meets the objectives of this Order.
  - a. Ensure that DOE only collects information from the public that has been first approved by OMB.
  - b. Improve the integrity, quality, and utility of information to all users within and outside the Department including capabilities for ensuring dissemination of public information, public access to government information, and protections for privacy and security.
  - c. Ensure the information collected is the minimum amount necessary for the proper performance of DOE and its missions, is not unnecessarily duplicative of information available elsewhere, and maximizes the usefulness of information.

- d. Minimize the paperwork burden for individuals; small businesses; educational and nonprofit institutions; Federal contractors (including operations of Government-owned and contractor-operated facilities); State, local, and tribal governments; and other persons resulting from the collection of information by or for DOE.
- e. Minimize the burden of the collection of information on those who are to respond, including through the use of appropriate automated, electronic, mechanical, or other technological collection techniques or other forms of information technology (e.g., permitting electronic submission of responses).
- f. Ensure that DOE evaluates its information collection activities on an ongoing basis, but at a minimum annually, to determine where the number of respondents/responses and burden hours can be reduced or eliminated (e.g., by collecting information less frequently, consolidating report instruments, or eliminating the collection in its entirety).
- g. Ensure that DOE develops and submits to OMB, in such form and at such time and in accordance with such procedures as OMB may prescribe, an annual comprehensive budget for all information collection activities including initiatives to reduce or streamline burden hours, revisions and reductions in the number of existing collections and burden, and revisions and reductions in any proposed collections for the succeeding 12 months.

5. RESPONSIBILITIES.

- a. The DOE Chief Information Officer, through the Departmental Records Officer.
  - (1) Develops and administers DOE policies and directives related to the requirements of the Information Collection Management Program.
  - (2) Provides overall leadership and management of the DOE Information Collection Management Program as required by Federal laws, Executive orders, regulations, DOE directives, and Departmentally established or accepted standards.
  - (3) Provides oversight and conducts assistance reviews to ensure implementation of policies and procedures for the information collection management programs of DOE elements.
  - (4) Provides consultative services concerning the management and implementation of the Information Collection Management Program, as needed.
  - (5) Identifies senior-level representatives for DOE Headquarters (HQ) program offices (and their associated field entities).

- (6) Serves as the DOE liaison with DOE elements, OMB, other Federal agencies, and the public sector for issues concerning day-to-day communications and operations related to the information management program.
- (7) Serves as the departmental clearance officer (DCO), and coordinates, reviews, and finalizes input from DOE elements to prepare the annual information collection budget submission to OMB and other special initiatives as determined by OMB.

b. The Administrator, Energy Information Administration.

- (1) Manages and implements an information collection management program for energy and statistical information collections.\*
- (2) Provides input in accordance with OMB's Information Collection Budget Bulletin to the Office of the Chief Information Officer (OCIO) on an annual basis.

c. Heads of DOE Elements.

- (1) Establish, implement, and sustain information collection management programs within their respective organizations to ensure that all information collections are formally submitted to OCIO review and are approved by OMB before initiating the collection instrument, record keeping requirement, and/or third-party disclosure of information in accordance with the requirements of all Federal laws and regulations, DOE directives, and accepted external standards and authoritative issues.
- (2) Provide resources to support the information collection management programs within their respective organizations, and appoint senior-level Information Collection Clearance Managers (ICCMs) having policy oversight and signature authority for HQ and program field site information collections under their cognizance. The ICCM will approve information collection requests before they are submitted to OCIO for review, approval, and formal submission to OMB and also serve as the program liaison with the DCO.
- (3) Provide names and contact information for the designated ICCMs to the DCO.

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\*The Department of Energy Organization Act (P.L. 95-91, Section 205), provides the administrator of the Energy Information Administration with specific responsibilities and authorities for the collection and analysis of energy information. Section 205(d) states in part that "The Administrator shall not be required to obtain the approval of any other officer or employee of the Department in connection with the collection or analysis of energy information; nor shall the Administrator be required, prior to publication, to obtain the approval of any other officer or employee of the United States with respect to the substance of any statistical or forecasting technical report which he has prepared in accordance with law."

- (4) Provide for “adequate and proper documentation” of actions related to information collection management activities in accordance with Federal laws, regulations, and DOE directives governing recordkeeping requirements.
- d. Information Collection Clearance Managers. ICCMs are responsible for the following program activities supporting the DOE Information Collection Management Program.
- (1) Coordinating the information collection management programs within their respective organizations to ensure compliance with this Order.
  - (2) Conducting only information collections that have been reviewed by OCIO and approved by OMB.
  - (3) Identifying, reviewing, and submitting for approval to OCIO all information collections sponsored by their respective organizations. Reviews must include—
    - (a) evaluations of the need for the collections of information which must include, in the case of existing collections of information, evaluations of the continued need for such collections;
    - (b) functional descriptions of the information to be collected;
    - (c) plans for the collection of information;
    - (d) specific, objectively supported estimates of burden, which will include, in the case of existing collections of information, evaluations of the burden that has been imposed by such collections;
    - (e) evaluations of whether (and if so, to what extent) the burden on respondents can be reduced by use of automated, electronic, mechanical, or other technological collection techniques or other forms of information technology (e.g., permitting electronic submission of responses);
    - (f) tests of the collections of information through pilot programs, if appropriate; and
    - (g) plans for the efficient and effective management and use of the information to be collected, including necessary resources.
  - (4) Preparing OMB information collection requests for submission to OCIO (for formal submission to OMB). Request “packages” will include the following:

- (a) a completed OMB 83-I, “Paperwork Reduction Act Submission,” signed by ICCM (in block 19) to certify that the information collections covered by this request comply with 5 CFR 1320;
  - (b) an OMB 83-I Supporting Statement;
  - (c) the instruments used to collect information and any associated manuals, guides, letters, or instructions sent to or used by the public;
  - (d) the published Federal Register Notices, any public comments received, and DOE’s response to the comments; and
  - (e) copies of the relevant statutes and regulations.
- (5) Assessing information collection management activities and methods on an ongoing basis, but at least annually, to streamline or reduce information collection burden hours.
- (6) Create, maintain, preserve, and disposition information collection management and information collection budget records in accordance with National Archives and Records Administration (NARA) approved records disposition schedules, as posted on the DOE OCIO Records Management Web pages (<http://cio.doe.gov/RBManagement/Records/records.html>).
- (7) Providing input to DCO concerning initiatives to reduce or streamline information collection activities as required for the annual information collection budget submission to OMB.
- e. Office of the General Counsel.
  - (1) Notifies DCO concerning proposed and revised rulemakings to ensure PRA requirements are being met.
  - (2) Coordinates and approves the submittal of DOE Federal Register Notices and reviews all notices for legal requirements before publication in the Federal Register.
- 6. DEFINITIONS. See Attachment 2.
- 7. REFERENCES. The references listed below provide additional clarifications and/or requirements for the DOE Information Collection Management Program.
  - a. “Controlling Paperwork Burdens on the Public” (Title 5 CFR, Part 1320), [http://www.access.gpo.gov/nara/cfr/waisidx\\_02/5cfr1320\\_02.html](http://www.access.gpo.gov/nara/cfr/waisidx_02/5cfr1320_02.html).
  - b. Information Technology Management Reform Act of 1996 (P.L. 104-106, Division E), <http://www.defenselink.mil/nii/org/cio/doc/CCA-Book-Final.pdf>.

- c. NARA-approved DOE administrative, programmatic, and site-specific records disposition schedules, <http://cio.doe.gov/RBManagement/Records/dissched.htm>.
  - d. National Nuclear Security Administration Act (Title 32 of P.L. 106-65), as amended, <http://thomas.loc.gov/bss/d106/d106laws.html>.
  - e. Paperwork Reduction Act (44 U.S.C. Chapter 35), <http://uscode.house.gov/search/criteria.shtml>.
  - f. Privacy Act (5 U.S.C. 552a), <http://uscode.house.gov/search/criteria.shtml>.
  - g. Records management section of the DOE Chief Information Officer Web site, <http://cio.doe.gov/RBManagement/Records/records.html>.
8. CONTACT. Questions concerning this Order should be addressed to the Office of the Chief Information Officer, Records Management Division, at 301-903-3455.

BY ORDER OF THE SECRETARY OF ENERGY:

CLAY SELL  
Deputy Secretary

**DOE ELEMENTS TO WHICH DOE O 200.Y IS APPLICABLE**

Office of the Secretary  
Departmental Representative to the Defense Nuclear Facilities Safety Board  
Energy Information Administration  
Office of the Chief Financial Officer  
Office of the Chief Information Officer  
Office of Civilian Radioactive Waste Management  
Office of Congressional and Intergovernmental Affairs  
Office of Counterintelligence  
Departmental Representative to the Defense Nuclear Facilities Safety Board  
Office of Economic Impact and Diversity  
Office of Electricity Delivery and Energy Reliability  
Office of Energy Efficiency and Renewable Energy  
Office of Environment, Safety and Health  
Office of Environmental Management  
Office of Fossil Energy  
Office of General Counsel  
Office of Hearings and Appeals  
Office of Human Capital Management  
Office of Inspector General  
Office of Intelligence  
Office of Legacy Management  
Office of Management  
National Nuclear Security Administration  
Office of Nuclear Energy, Science and Technology  
Office of Policy and International Affairs  
Office of Public Affairs  
Office of Science  
Office of Security and Safety Performance Assurance  
Secretary of Energy Advisory Board  
Bonneville Power Administration  
Southeastern Power Administration  
Southwestern Power Administration  
Western Area Power Administration

## DEFINITIONS

Adequate and Proper Documentation. Record of the conduct of Government business that is complete and accurate to the extent required to document organization, functions, policies, decisions, procedures, and essential transactions and is designed to furnish the information necessary to protect the legal and financial rights of the Government and of persons directly affected by Government activities.

Burden. Total time, effort, or financial resources expended by persons to generate, maintain, retain, disclose, or provide information to or for a Federal agency, including reviewing instructions; developing, acquiring, installing, and utilizing technology and systems for the purpose of collecting, validating, and verifying information; developing, acquiring, installing, and utilizing technology and systems for the purpose of processing and maintaining information; developing, acquiring, installing, and utilizing technology and systems for the purpose of disclosing and providing information; adjusting the existing ways to comply with any previously applicable instructions and requirements; training personnel to be able to respond to a collection of information; searching data sources; completing and reviewing the collection of information; and transmitting or otherwise disclosing the information.

Collection of Information. Obtaining, causing to be obtained, soliciting, or requiring disclosure to an Agency, third parties, or the public of information by or for an Agency by means of identical questions posed to, or identical reporting, recordkeeping, or disclosure requirements imposed on, 10 or more persons, whether such collection of information is mandatory, voluntary, or required to obtain or retain a benefit. "Collection of information" includes any requirement or request for persons to obtain, maintain, retain, report, or publicly disclose information.

Conduct or Sponsor. A Federal agency is considered to "conduct or sponsor" a collection of information if the Agency collects the information; causes another Agency to collect the information; contracts or enters into a cooperative agreement with a person to collect the information; or requires a person to provide information to another person or in similar ways causes another agency, contractor, partner in a cooperative agreement, or person to obtain, solicit, or require the disclosure to third parties or the public of information by or for an Agency.

Departmental Clearance Officer. The authorized representative responsible for certifying that the requirements of 5 CFR 1320 and any other applicable information policy directives are complied with. The Departmental clearance officer is also the liaison between the Office of Management and Budget and Departmental elements.

Information. Any statement of fact or opinion, whether in numerical, graphic, or narrative form and whether oral or maintained on paper, magnetic tapes, or other media.

Information Collection Budget. Information Collection Budget (ICB) refers to the planning document required by the Office of Management and Budget (OMB) for information collection activities. The budget is compiled annually by each Government agency based on instructions provided by OMB, and is used to convey the costs, including burden hours, of an agency's information collections. Individual information collections are listed separately along with the



estimated burden associated with each. The ICB supports the Paperwork Reduction Act and assists in effective information resources management. It serves as a planning mechanism to implement the paperwork reduction program and to assist Agencies in efficient information resource management.

Information Collection Request. Method used by an Agency to communicate the specifications for a collection of information to respondents, including a written report or application form, schedule, questionnaire, oral communication, recordkeeping requirement, or other similar method.

Information Collection Clearance Managers. Persons responsible for reviewing, analyzing, and clearing information collections for their respective operating units before submitting them to the Departmental Clearance Officer.

OMB-83-I, "Paperwork Reduction Act Submission". Office of Management and Budget (OMB) form used (1) to request OMB review of a regulation under Executive Order 12291 and (2) to request OMB approval of collections of information and recordkeeping requirements under the Paperwork Reduction Act and 5 CFR 1320. (DOE O 200.Y covers only requests for OMB approval of collections of information, recordkeeping requirements, and third-party disclosures.)

Person. Individual, partnership, association, corporation (including operations of Government-owned contractor-operated facilities), business trust, or legal representative; an organized group of individuals; a State, territorial, tribal, or local government or branch thereof; or a political subdivision of a State, territory, tribal, or local government or a branch of a political subdivision;

Practical Utility. Actual, not merely theoretical or potential, usefulness of information to or for an Agency, taking into account its accuracy, validity, adequacy, and reliability and the agency's ability to process the information it collects (or a person's ability to receive and process that which is disclosed, in the case of a third-party or public disclosure) in a useful and timely fashion.

Recordkeeping Requirement. Requirement imposed by or for an Agency on persons to maintain specified records, including a requirement to retain such records; notify third parties, the Federal government, or the public of the existence of such records; disclose such records to third parties, the Federal government, or the public; or report to third parties, the Federal government, or the public regarding such records.

Respondent. An individual or organization from whom information is sought, directly or indirectly, and is providing this information as requested.

Ten or More Persons. Persons to whom an information collection request is addressed by an Agency within any 12-month period. If the information collection request is addressed to less than 10 persons, it does not come under the purview of the Paperwork Reduction Act.

Third-Party Disclosures. Situations where a person is required by a Federal agency to provide information to a person or entity other than the Federal Government, including the required reporting from companies to citizens through labels, posters, or advertisements.